

2631



ATTORNEYS AT LAW



Robert Greene Sterne  
 Edward J. Kessler  
 Jorge A. Goldstein  
 David K.S. Cornwell  
 Robert W. Esmond  
 Tracy-Gene G. Durkin  
 Michele A. Cimbala  
 Michael B. Ray  
 Robert E. Sokohl  
 Eric K. Steffe  
 Michael O. Lee  
 Steven R. Ludwig  
 John M. Covert  
 Linda E. Alcorn  
 Robert C. Millonig  
 Lawrence B. Bugalsky  
 Donald J. Featherstone  
 Michael V. Messinger

Judith U. Kim  
 Timothy J. Shea, Jr.  
 Patrick E. Garrett  
 Heidi L. Kraus  
 Edward W. Yee  
 Albert L. Ferro\*  
 Donald R. Banowitz  
 Peter A. Jackman  
 Teresa U. Medler  
 Jeffrey S. Weaver  
 Kendrick P. Patterson  
 Vincent L. Capuano  
 Eldora Ellison Floyd  
 Thomas C. Riala  
 Brian J. Del Buono  
 Virgil Lee Beaston  
 Kimberly N. Reddick  
 Theodore A. Wood

Elizabeth J. Haanes  
 Joseph S. Ostroff  
 Frank R. Cottingham  
 Christine M. Luhier  
 Rae Lynn Prengaman  
 Jane Shershenovich\*  
 Lawrence J. Carroll\*  
 George S. Bardmesser  
 Daniel A. Klein\*  
 Jason D. Eisenberg  
 Michael D. Specht  
 Andrea J. Kamage  
 Tracy L. Muller  
 LuAnne M. DeSantis  
 John J. Figueiroa  
 Ann E. Summerfield  
 Tiera S. Coston\*  
 Aric W. Ledford\*

Michael D. Specht  
 Jessica L. Parezo  
 Timothy A. Doyle\*  
 Cynthia M. Bouchard  
 Nicole D. Dretar\*  
 Ted J. Ebersole  
Registered Patent Agents  
 Karen R. Markowicz  
 Nancy J. Leith  
 Helene C. Carlson  
 Gaby L. Longsworth  
 Matthew J. Dowd  
 Aaron L. Schwartz  
 Mary B. Tung  
 Katrina Y. Pei Quach  
 Bryan L. Skelton  
 Robert A. Schwartzman

Teresa A. Colella  
 Jeffrey S. Lundgren  
 Victoria S. Rutherford  
 Eric D. Hayes  
 Michelle K. Holobuck  
 Robert H. Deseims  
 Simon J. Elliott  
 Julie A. Heider  
 Mita Mukerjee  
 Scott M. Woodhouse  
Of Counsel  
 Kenneth C. Bass III  
 Evan R. Smith  
 Marvin C. Guthrie  
 \*Admitted only in Maryland  
 \*\*Admitted only in Virginia  
 #Practice Limited to Federal Agencies

April 15, 2004

WRITER'S DIRECT NUMBER:  
 (202) 772-8835

INTERNET ADDRESS:  
 TFIALA@SKGF.COM

Art Unit 2743

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APR 16 2004

Technology Center 2600

Commissioner for Patents  
 PO Box 1450  
 Alexandria, VA 22313-1450

Re: U.S. Utility Patent Application  
 Application No. 09/430,821; Filed: October 29, 1999  
 For: **Cable Modem System**  
 Inventors: QUIGLEY *et al.*  
 Our Ref: 1875.132000A

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fourth Supplemental Information Disclosure Statement;
2. Form PTO-1449 listing the Declaration of Lisa V. Denney, executed March 22, 2004, (8 pages) with Exhibits 1-5;
3. Copy of the Declaration of Lisa V. Denney, executed March 22, 2004, (8 pages) with Exhibits 1-5; and
4. One (1) return postcard.

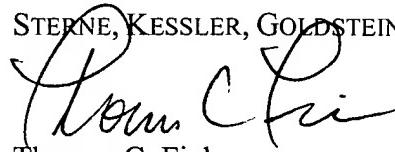
It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents  
April 15, 2004  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency,  
or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Thomas C. Fiala

Attorney for Applicants  
Registration No. 43,610

TCF/mjg  
Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of:

SHUGLEY et al.

Appl. No.: 09/430,821

Filed: October 29, 1999

For: **Cable Modem System**

Confirmation No.: 7777

Art Unit: 2743

Examiner: To Be Assigned

Atty. Docket: 1875.132000A

**Fourth Supplemental Information Disclosure Statement**

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Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Technology Center 2600

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Fourth Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Third Supplemental Information Disclosure Statement filed on January 31, 2001 in connection with the above-captioned application.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be

prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, **OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114.** No statement or fee is required.
- 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the

first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.

- a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance.  
1138 OG 37, 38.
6. A concise explanation of the relevance of the non-English language document(s) appears below:

7. Copies of the documents are submitted herewith.
8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed

\_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120.  
Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

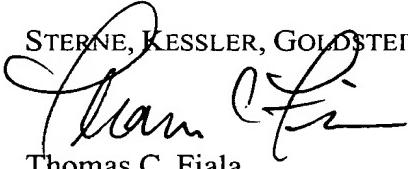
9. No copies of U.S. patents and patent application publications cited on the attached Form PTO-1449 are submitted in accordance with 1276 OG 55 because this application was filed after June 30, 2003.
10. It is expected that the examiner will review the prosecution and cited art in the parent application no(s). \_\_\_\_\_ in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution history has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

  
Thomas C. Fiala  
Attorney for Applicants  
Registration No. 43,610

Date: April 15, 2004

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600

FORM PTO-1449

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1875.132000AAPPLICATION NO.  
09/430,821FIRST NAMED INVENTOR  
QUIGLEY et al.FILING DATE  
October 29, 1999ART UNIT  
2743**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1						
	AB1						
	AC1						
	AD1						
	AE1						
	AF1						
	AG1						
	AH1						
	AI1						
	AJ1						
	AK1						

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APR 16 2004

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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes
	AM1						No
	AN1						Yes
	AO1						No
	AP1						Yes
							No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

Declaration of Lisa V. Denney, dated March 22, 2004, (8 pages) with Exhibits 1-5.

AR	1		
AS	1		
AT	1		

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.